

JAN-07-2008 16:52

RADER FISHMAN

202 955 3751

P.01

Docket No.: HZA-0003

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Katsumi FURUYA et al.

Group Art Unit: 2874

Application No.: 10/591,471

Confirmation No.: 1459

Filing Date: May 21, 2007

For: PHOTONIC CRYSTAL COUPLING
DEFECT WAVEGUIDE AND PHOTOTONIC
CRYSTAL DEVICE

REQUEST FOR CORRECTED FILING RECEIPT

VIA FACSIMILE: 571-273-3201 (7 pages, including cover)

Attn: PCT Section, Customer Service

Commissioner for Patents
P.O. Box 1450
Washington, D.C. 22313-1450

Sir:

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
2. There is an error with respect to the following, which is incorrectly entered. We are also enclosing a copy of the executed declaration showing the correct data.

Error:

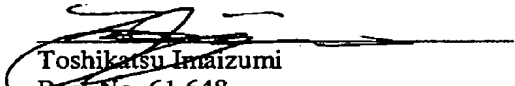
1. Title

Correct data to title:

1. PHOTONIC CRYSTAL COUPLING DEFECT
WAVEGUIDE AND PHOTOTONIC CRYSTAL
DEVICE

3. The correction is due to an error by the USPTO. If any fee is due, please charge Deposit Account No. 18-0013.

Dated: January 7, 2008


Toshikatsu Imaizumi
Reg. No. 61,648

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UNITED STATES PATENT AND TRADEMARK OFFICE

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APPL NO.	FILING OR 371(c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLMS	IND CLMS
10/591,471	05/21/2007	2874	1030	HZA-0003	3	3

CONFIRMATION NO. 1459

23353

RADER FISHMAN & GRAUER PLLC
LION BUILDING
1233 20TH STREET N.W., SUITE 501
WASHINGTON, DC 20036

FILING RECEIPT



OC000000025642619

Date Mailed: 09/06/2007

Receipt is acknowledged of this nonprovisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Katsumi Furuya, Ibaraki, JAPAN;
Kazuhiro Komori, Ibaraki, JAPAN;
Noritsugu Yamamoto, Ibaraki, JAPAN;
Yoshinori Watanabe, Ibaraki, JAPAN;

Assignment For Published Patent Application

NATIONAL INSTITUTE OF ADVANCED INDUSTRIAL SCI & TECH, Tokyo, JAPAN
Japan Science and Technology Agency, Saitama, JAPAN

Power of Attorney: The patent practitioners associated with Customer Number 23353.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/JP05/03366 03/01/2005

Foreign Applications

JAPAN 2004-058536 03/03/2004

If Required, Foreign Filing License Granted: 08/30/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/591,471**

Projected Publication Date: 12/06/2007

Non-Publication Request: No

Early Publication Request: No

Title

Photonic Crystal Coupling Defect Waveguide and Photonic Crystal

Device

Preliminary Class

385

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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Title 35, United States Code, Section 184

Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

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PTO/SB/01 (07-06)

Approved for use through 01/31/2007. OMB 0851-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63) <input checked="" type="checkbox"/> Declaration Submitted With Initial Filing <input type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)	Attorney Docket Number	HZA-0003
	First Named Inventor	Katsumi Furuya
	COMPLETE IF KNOWN	
	Application Number	Not Yet Assigned
	Filing Date	Concurrently Herewith
	Art Unit	N/A
	Examiner Name	Not Yet Assigned

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

PHOTONIC CRYSTAL COUPLING DEFECT WAVEGUIDE AND PHOTONIC CRYSTAL DEVICE

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) 03/01/2005 as United States Application Number or PCT International

Application Number PCT/JP2005/003366 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
JP2004-058536	JAPAN	03/03/2004	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

PTO/SB/01 (07-06)

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DECLARATION — Utility or Design Patent Application			
Direct all correspondence to:		<input checked="" type="checkbox"/> The address associated with Customer Number:	23353 OR <input type="checkbox"/> Correspondence address below
Name RADER, FISHMAN & GRAUER PLLC			
Address 1233 20th Street, N.W. Suite 501			
City	Washington	State	DC ZIP 20036
Country	US	Telephone	(202) 955-3750 Email
<p>WARNING:</p> <p>Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.</p> <p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.</p>			
NAME OF SOLE OR FIRST INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Katsumi		Furuya	
Inventor's Signature		Date	
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Mailing Address:	c/o National Institute of Advanced Industrial Science and Technology, Tsukuba Central 2, 1-1, Umezono 1-chome Tsukuba-shi		
City	State	Zip	Country
Ibaraki		305-8568	Japan
NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Kazuhiro		Komori	
Inventor's Signature		Date	
<i>Kazuhiro</i>		September 4, 2006	
Residence: City	State	Country	Citizenship
			Japan
Mailing Address:	c/o National Institute of Advanced Industrial Science and Technology, Tsukuba Central 2, 1-1, Umezono 1-chome Tsukuba-shi		
City	State	Zip	Country
Ibaraki		305-8568	Japan
<input checked="" type="checkbox"/> Additional inventors or a legal representative are being named on the <u>1</u> supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.			

PTO/SB/02A (09-04)

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DECLARATION		ADDITIONAL INVENTOR(S) Supplemental Sheet	
		Page 1 of 1	
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Noritsugu		Yamamoto	
Inventor's Signature <i>山本 宗純</i>		Date September 4, 2006	
Residence: City	State	Country	Citizenship
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City	Ibaraki	State	Zip 305-8568
			Country Japan
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Yoshinori		Watanabe	
Inventor's Signature <i>渡辺 裕紀</i>		Date September 4, 2006	
Residence: City	State	Country	Citizenship
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Mailing Address: c/o National Institute of Advanced Industrial Science and Technology, Tsukuba Central 2, 1-1, Umezono 1-chome Tsukuba-shi			
City	Ibaraki	State	Zip 305-8568
			Country Japan
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address:			
City	State	Zip	Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address:			
City	State	Zip	Country